

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of: BERINI, Pierre Simon Joseph

Serial No: 10/617,863

Art Unit: 2874

Filed: July 14, 2003

Examiner: N/A

Subject: Optical Waveguide Structures

## THE COMMISSIONER OF PATENTS AND TRADEMARKS

P.O. Box 1450  
Alexandria, VA 22313-1450  
U.S.A.

### INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97(b)

Sir:

To comply with applicants' duty of disclosure under 37 CFR 1.56, Form PTO-1449, listing documents known to applicant, is submitted herewith.

- Copies of some of the listed documents are enclosed.
- This is a continuing application and copies of the documents were submitted in respect of the parent application No. 09/742,422 and 09/629,816. Copies of the IDS forms for the parent applications are enclosed.

#### Relevance of information not in English - 37 CFR 1.98(a)(3)

- To comply with 37 CFR 1.98(a)(3), an English language abstract is appended to ... patent No. .... (document ....)
- Document # discloses
- The relevance of .... is discussed in the specification.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application. Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

Applicant respectfully requests that the listed documents be considered by the Examiner and be made of record in the present application and that an initialled copy of form PTO-1449 be returned in accordance with MPEP Sec. 609.

The Commissioner is hereby authorized to charge any fee required to Deposit Account No. 20-0771.

Respectfully submitted

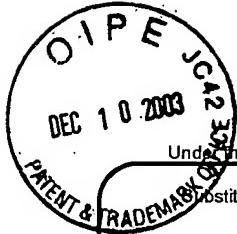


THOMAS ADAMS  
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DATE: November 13, 2003

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Docket No. AP740801CIP



PTO/SB/08A (08-03)

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TRADEMARK Institute for form 1449/PTO		<b>C mplete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	10/617,863
		Filing Date	July 14, 2003
		First Named Inventor	BERINI, Pierre S.J.
		Art Unit	2874
		Examiner Name	
		Attorney Docket Number	AP740801CIP

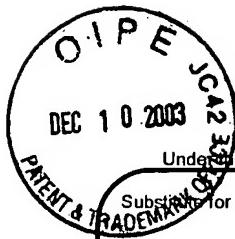
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	9	WO 00/16140	03-23-2000	University of S		
	10	WO 02/08810	01-31-2002	HVAM et al		
	11	EP 0 324 611	07-19-1999	HGK Insulators		
	12	WO 02/10815	02-07-2002	3849988 Canada		

Examiner Signature		Date Considered	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

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of

2

*Compl te if Known*

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Filing Date	July 14, 2003
First Named Inventor	BERINI, Pierre S. J.
Art Unit	2874
Examiner Name	

Attorney Docket Number AP740801CIP

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	13	JAEGER et al "Voltage-Induced Optical Waveguide Modulator in Lithium Niobate", IEEE Journal of Quantum Electronics, Vol 25. No. 4, 1989, pp 720-728	
	14	ASHLEY et al "Improved Mode Extinction Modulator Using a Ti-Indiffused LiNbO <sub>3</sub> Channel Waveguide", Applied Physics Letters, Vol 45, No.8 1984, pp. 840-842	
	15	YARIV AND YEH "Optical Waves in Crystals", John Wiley & Sons, New York 1984	
	16	BOZHEVOLNYI "Waveguiding in Surface Plasmon Polariton Band Gap Structures" Physical Review Letters Vol 86, No. 14, April 2, 2001	

Examiner Signature	Date Considered
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